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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Steve G. Baker, Brett J. Carter, Stefan J. M. Kraemer,  
Clifton A. Alferness, John M. Adams

Title: TISSUE FIXATION DEVICES AND A TRANSORAL  
ENDOSCOPIC GASTROESOPHAGEAL FLAP VALVE  
RESTORATION DEVICE AND ASSEMBLY USING SAME

Serial No.: 10/783,717

Filing Date: February 20, 2004

Examiner/Unit: Natalie R. Pous / 3731

Attorney Docket No.: 2234-3-3

CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited in the United States Postal Service as First Class Mail in an envelope addressed to: MS AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 10<sup>th</sup> day of January, 2007.

  
Signature

**RULE 56 INFORMATION DISCLOSURE AND  
ACCOMPANYING SECTION 1.97(e) CERTIFICATION**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

In compliance with 37 CFR § 1.56 and § 1.97, Applicants acting by and through the attorney of record, hereby discloses patents and other documents listed on the attached Form PTO-1449 which may be considered relevant to the examination of the subject application.

Copies of the cited non-U.S. reference is enclosed.

**Certification Under Section 1.97(e)**

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this statement.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP

A handwritten signature in black ink, appearing to read "Richard O. Gray, Jr.", written in a cursive style.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number	10/783,717
Filing Date	February 20, 2004
First Named Inventor	Steve G. Baker
Art Unit	3731
Examiner Name	Natalie R. Pous
Attorney Docket Number	2234-3-3

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US-6,113,611	09/05/2000	Allen et al.	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

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Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 2 of 2

**Complete if Known**

Application Number	10/783,717
Filing Date	February 20, 2004
First Named Inventor	Steve G. Baker
Group Art Unit	3731
Examiner Name	Natalie R. Pous
Attorney Docket Number	2234-3-3

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		International Search Report for PCT/US05/34330 dated October 10, 2006	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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